

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TITLE OF THE INVENTION

**METHOD AND APPARATUS FOR HIGH ACCURACY DISTRIBUTED TIME SYNCHRONIZATION
USING PROCESSOR TICK COUNTERS**

INVENTORS

Priya Rajagopal
a citizen of India,
residing at 1381 NE Carlabay Way, #119,
Hillsboro, OR 97124

David M. Durham
a citizen of the United States,
residing at 1024 NE Parksedge Cir.
Hillsboro, OR 97124

Prepared by

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
12400 WILSHIRE BOULEVARD
SEVENTH FLOOR
LOS ANGELES, CA 90025-1026
(303) 740-1980

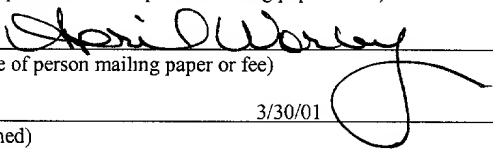
EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL845313354US

Date of Deposit: March 30, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Commissioner of Patents and Trademarks, Washington, D. C. 20231

April Worley
(Typed or printed name of person mailing paper or fee)


(Signature of person mailing paper or fee)

3/30/01
(Date signed)

FILED "01032860

**METHOD AND APPARATUS FOR HIGH ACCURACY DISTRIBUTED TIME
SYNCHRONIZATION USING PROCESSOR TICK COUNTERS**

BACKGROUND OF THE INVENTION

Field of the Invention

[0001] The present invention relates generally to the field of time synchronization of distributed processors. More particularly, the invention relates to the use of processor tick counter values to determine clock offsets to synchronize timing in networks of distributed processors.

Description of the Related Art

[0002] Accurate time-stamps and accurate timing synchronization are valuable for many different computing tasks in many environments. Current time synchronization protocols typically use the system clock of each computing resource for synchronization. The system clock is typically an independent component that resides on a system bus or a memory bus. The resolution of system clocks is determined by the interrupt cycle of the clock and is typically on the order of one to ten milliseconds. Accordingly, the accuracy of such a synchronization protocol is limited to the order of tens of milliseconds or at best milliseconds.

[0003] Higher accuracy can be useful in many different applications. An example of such an application is a network monitoring system which collects important network statistical information from different devices at specific instants in time. The statistics are typically time-stamped and correlated to determine important network characteristics such as latency, link capacity,

T00880"0402250

communications bandwidth, jitter, loss, and interrupt activity. The more accurate the time-stamps, the more reliable the statistics will be. Some network management systems keep a log of events that occur on the distributed systems of the network. The log of events is typically time-stamped and can be very useful, for example, in order to allow a network administrator to infer a chain of events that has led to a particular failure. Higher timing accuracy allows the sequence of the events to be known with greater certainty. It can also facilitate a run-time series analysis at distributed centers. Another example is a networked file management system which requires file systems on the various networked devices to be synchronized and maintained consistent.

[0004] Another example of a system that can benefit from high accuracy synchronization is digital document certification. Such certificates can include a time stamp. More accurate time synchronization allows more precise criteria to be applied to the certification, enhancing the accuracy of the certification. Another example is encryption. Many encryption schemes require time-stamping. More accurate time-stamps result in greater encryption security.

[0005] Another application of accurate time synchronization is a distributed computing environment in which jobs are distributed among several processors that are networked together. For example a set of different processing engines such as ASICs (Application Specific Integrated Circuits), DSPs (Digital Signal Processors), or microprocessors can be coupled together for parallel processing or distributed processing in a single computer, telecommunications device , network server, or mainframe. A more accurate time stamp allows the jobs to be more closely synchronized, increasing system throughput. The higher the accuracy of the synchronization, the more efficiently the concurrent tasks can be coordinated.

BRIEF DESCRIPTION OF THE SEVERAL VIEWS OF THE DRAWINGS

[0006] The appended claims set forth the features of the invention with particularity. The present invention is illustrated by way of example, and not by way of limitation, in the figures of the accompanying drawings in which like reference numerals refer to similar elements and in which:

[0007] Figure 1 is a block diagram of a computer network suitable for implementing the present invention;

[0008] Figure 2 is a flow chart showing a process for synchronizing devices on a network;

[0009] Figure 3 is a flow chart showing a process for determining a round trip time;

[0010] Figure 4 is a flow chart showing a process for synchronizing devices after a round trip time has been determined; and

[0011] Figure 5 is an example of a typical computer system of a computer network of Figure 1 upon which one embodiment of the present invention may be implemented.

DETAILED DESCRIPTION OF THE INVENTION

[0012] The present invention allows two separate processing engines, such as microprocessors, for example in two networked computers or in a parallel processing system, to be synchronized with a very high accuracy. The invention can be applied to a variety of systems for a variety of different benefits as discussed above and has a minimal impact on network traffic loads. In one embodiment, the synchronization is applied to microprocessors based on the tick counter of each respective processor. The tick count counter value is maintained in a register of a typical microprocessor and is updated at the speed of the microprocessor. The value can be read from the register with a standard, simple, assembly language instruction. As a result, the value provides very high accuracy commensurate with the processor speed and can be obtained very quickly. For an Intel Pentium[®] II processor that runs at 233MHz, synchronization can be obtained with an accuracy on the order of a few nanoseconds. For an Intel Pentium[®] 4 processor that runs at 1.5GHz, synchronization can be obtained with an accuracy on the order of half a nanosecond.

[0013] Figure 1 shows a network system in which several computers are connected together to share processing tasks. One of the computers is assigned to be a timing synchronization server 12. Its timing is assigned to be the master clock to which all of the other computers are slaved. The timing synchronization server may also perform many other functions that are unrelated to the timing synchronization tasks discussed herein. The system also includes a web server 14, and two auxiliary servers 16, 18. These servers are slave servers which are synchronized to the master 12. In one embodiment, the servers are all conventional Intel Pentium[®] II and III based microcomputers and server appliances acquired from a variety of different hardware vendors running a Microsoft

Windows[®] NT operating system and connected by Ethernet. However, the present invention can be applied to a network of any type of processing engines coupled together as discussed in the examples provided above. The choice of operating system is not important nor does the present invention require an operating system. As is well-known in the art, there are many different software methods to read a value from the processor tick counter or similar high speed refresh register. Many of these methods do not require an operating system.

[0014] The master and the slave servers are coupled together with a network communications bus 20 which can be any type of wired or wireless network using any acceptable protocol. In the example of Figure 1, the computers are connected through an Ethernet to form a local area network (LAN). For a parallel processing device, the processors may be coupled together using a local system bus. The LAN is used, for example, at a web server site to provide web services over the Internet.

[0015] Accordingly, the web server 14 connects the LAN through the Internet 22 to a remote server 24 and a client 26. The remote server can be used to provide additional services to the client such as authentication, billing or advertising services that are not provided by the servers on the network. While the example of Figure 1 shows a network of servers to be synchronized, the invention can also be applied to many different system architectures in which separate processors can be synchronized. Such environments include other computer processing farms, parallel processors in a single computer and peers on the illustrated or another type of network. The processors can be in a server-client, mainframe-terminal, peer-peer or any other type of configuration. In addition, it is not necessary that the timing master serve as a master for any other functions. The timing master may be a slave, terminal or client to the other processors for any or all functions other than timing.

packaging the value into a message with its processor speed and sending the message back to the slave 42. Alternatively, if the response is delayed, the timing master can indicate the amount of delay in its response. The slave will then adjust its calculations accordingly. The MPTC may be packaged along with any other data related to any other type of network management or administration or it may be sent alone. As with the request, the MPTC message, like the MPTC request will be sent in accordance with the standards and protocols that are standard for the particular bus that connects the processors.

[0019] In some networks, it may happen that the master and slave operate at different processor speeds or frequencies. As a result, the tick counter values will cycle at correspondingly different speeds. In order to use the tick counter value to synchronize timing, this difference in speed will be taken into account. The network can be configured so that timing slaves know the processor speed of the timing master. Alternatively, the slave can request the processor speed value from the master at the time that it sends the tick counter value request. If the request includes a request for the master processor speed, then the master will determine this value 38 and include that in the message that it sends to the slave 42. In this way, the network can be synchronized without any initial knowledge of the devices on the network. In addition, devices can be modified or replaced without upsetting the ability of the network to synchronize. The processor speed or clock rate can be determined by the timing master in advance so that it is ready to send to timing slaves on request.

[0020] The processor speed can be determined by retrieving the processor tick counter value at two different times spaced apart by a few milliseconds. The difference between the two retrieved counter values can then be compared to the time elapsed between the two to obtain a processor frequency in Hertz. For greater accuracy, the process can be repeated several times and averaged. This process can be performed autonomously by any processor in advance of receiving a tick counter

value request. It can also be done in response to a specific request. Alternatively, the Intel Processor Frequency ID Utility can be used. This utility is available for download from Intel Corporation at <http://www.intel.com/support/processors/tools/frequencyid/24659.htm>.

[0021] The slave will receive the MPTC and processor speed message from the master 44 and again read the current value in its own processor tick counter register at the time that the message is received 46. The value at the second reading of the slave processor tick counter value will be called SPTC2. By comparing the two processor tick counter values (SPTC1, SPTC2), the one at the time of sending the message to the master and the one at the time of receiving the message from the master, the slave can determine the number of its own processor tick counts that occurred during the interval 46. Based on this number it can calculate a round trip time for the message to go from the slave to the master and back again 48. The round trip time (RTT) corresponds to the number of processor tick counts for the message to travel from the slave to the master and back. The number of processor tick counts can be converted into standard units such as microseconds if the processor clock frequency is known or it can be used as is in units of processor tick counts.

[0022] For processors with varying clock speeds, the clock speed should be monitored during the round trip of the message and the number of processor tick counts should be normalized. The clock speed can be monitored by running the processor frequency algorithm mentioned above or the Processor Frequency ID Utility at regular intervals and recording the results. The normalization can be, for example, either to a standard processor tick rate or to a standard unit such as microseconds.

[0023] The round trip time can be expressed as: $RTT = |SPTC1 - SPTC2|$. Note that the content or substance of the message from the timing master (MPTC) is used in determining the synchronization offset but is not necessary to determine the round trip time. It is important only that the message result in a response being returned to the slave from the master. For RTT, the message

from the timing master may accordingly contain any other data or no data at all. As mentioned above SPTC1 and SPTC2 correspond to a time at which a message is sent and received, respectively. The exact time of sending and receiving need not be precisely defined, provided that readings of SPTC1 and SPTC2 are done consistently. Alternatively, the readings can be normalized or scaled to provide a consistent result. Since the processor tick counter value can be read using a standard assembly language instruction, the amount of time required to obtain the value is very small as is the amount of time required to send the MPTC request to the timing master.

[0024] In some networks, the time that it takes a message to travel across the network varies over time and with different messages. The variation can depend upon the network traffic at the time. It can depend upon the processor load at each processor. It can depend upon whether any interrupts occurred in the path or it can depend on a number of other factors. Such other factors include the network being down or having components pulled off the wire. Many of these variations can be compensated for by repeating steps 32-46 discussed above with respect to Figure 2 and analyzing the results. In one embodiment, the messages propagate with no interrupts and only minor traffic variations affect the round trip time of messages. Accordingly, to accurately determine round trip time, the measuring cycle of sending and receiving and comparing the slave processor tick counter value can be repeated three or four times 50. The three or four results can be averaged to obtain a suitably accurate value 52. As discussed below statistical processing more complex than averaging can be performed.

[0025] In one embodiment, measurements of RTT are made and the results are compared to each other. The measurements are repeated until the RTT values become consistent. Consistency can be measured, for example, by a threshold or by a standard deviation. The minimum RTT value from within this group of consistent measurements can be taken as the RTT value for further

processing. Stated another way, the RTT measurements can be compared and any extreme values discarded. The minimum of the values remaining can then be selected as the RTT.

[0026] In another embodiment, the messages can be affected by an interrupt which will significantly affect the round trip time. In such an embodiment four or five measurements are made. The measurements are then compared. Any measurements that are influenced by an interrupt can be identified as significantly greater than the others. There are a variety of ways to perform this comparison, for example, the minimum measurement can be identified and any measurement that exceeds the minimum by more than a threshold amount can be rejected.

[0027] In another embodiment, an average round trip time can be calculated after each measurement. The averages can then be compared for deviation. As the averages converge with each measurement, the measurements can stop once the averages converge to within a threshold amount. More sophisticated approaches can be used based on iteration, standard deviation and other statistical methods as is understood by those of average skill in the art. The particular statistical processing to be applied as well as the number of measurements to be made will depend upon the nature of the communications bus and the way that these messages are handled by the master and slave processors.

[0028] Once a round trip time is determined, it can be applied to compare the master processor tick counter value received from the timing master to the slave processor tick counter value. From this comparison, an offset can be determined. The offset can be used to convert any master processor tick counter value to a corresponding slave processor tick counter value. The offset can be computed by comparing the received MPTC to the SPTC1 or SPTC2 corrected for the one-way travel time of the message containing the MPTC from the master to the slave. This one-way travel time is half the round trip time (RTT/2). The offset can be used if, for example, a command is

tick counter reaches the result. To get a proper time stamp, the slave reads its processor tick counter value and adds 625. It then time stamps messages with a time that is related to the timing master 62.

[0031] Finally, the repeated requests for the MPTC described above to enhance the RTT determination can also be used to enhance the accuracy of the offset determination. Using the multiple cycles of requesting MPTC in steps 32-44, the offset calculation can be repeated several times and the result averaged 56. The number of measurements will depend on the nature of the network. In one embodiment, an average is repeated after each measurement and the averages are compared. When the averages have converged to a sufficient degree, then the measurements are stopped and the last average is taken as the offset. Empirically, it has been found that three to five measurements are sufficient to obtain an offset that is accurate to within a few nanoseconds of the actual value. The offset measurements are taken from the RTT determination of steps 32-44 and since this is repeated several times 50, the offset measurement is also repeated several times and no separate offset measurement is necessary.

[0032] As mentioned above, the timing master and the timing slave may well operate at different processor frequencies or speeds. Accordingly, it may be necessary to correct the offset determination for this clock skew. For example, the timing slave may have a Pentium® III processor that runs at 500MHz and the timing master may have a Pentium® III processor that runs at 1GHz. As a result, the processor tick counter is updated twice as fast by the master as it is by the slave. The processor speeds have been determined already in steps discussed above.

[0033] Using the example above where the MPTC is 1000 and SPTC2 was 350, the difference in processor speed can quickly be accommodated. One way is to divide all MPTC values in half, one half being the ratio of the processor speeds in this example. Accordingly, $MPTC/2$ is 500, the corrected timing offset in terms of slave tick counter time is $500 - 350 - 25 = 125$. This

corrected timing offset can be used as discussed above to correct instruction execution times 60 and to correct time stamps 62. Instruction execution times in timing master tick counter values are first divided by the speed ratio, e.g. one half, then corrected for the offset, e.g. 125. Time stamps are measured in terms of slave tick counts, corrected for the offset and corrected for the speed ratio. The computed corrected offset is applied to all operations which are normalized to master timing. This can include time stamps 82, message labeling, instruction execution 84 and any other synchronized activity.

[0034] The offset determination can be repeated to accommodate drift in the respective processors' frequencies and system clocks that may be caused by temperature, power supply variations or variations in the clocks. It has been found that in at least one network of Intel Pentium® II and III processor based machines, the offset should be recalculated every 8-24 hours. This provides synchronization that is accurate to within a few nanoseconds. The necessary number of repetitions will depend on the environment in which the machines are operated and many other factors. The optimal amount of time for recalculation should be determined for each network and each environment.

[0035] While offset may need to be re-determined daily or more often, the round trip time (RTT) is typically more stable. In many networks, the round trip time will not change significantly as long as the configuration of the network is not changed. Accordingly, the round trip time may not need to be re-determined for several days of network operation. In such a case, once the RTT measurements have been made, normalized and statistically processed, the round trip time can be stored and applied again later for re-use. Unnecessary re-determination of the round trip time may burden the network with undesired overhead, accordingly, the number of round trip time calculations can be minimized.

[0045] A communication device 425 is also coupled to the bus 401. The communication device 425 may include a modem, a network interface card, or other well known interface devices, such as those used for coupling to Ethernet, token ring, or other types of physical attachment for purposes of providing a communication link to support a local or wide area network (LAN or WAN), for example. In this manner, the computer system may also be coupled to a number of clients or servers via a conventional network infrastructure, including an intranet or the Internet, for example.

[0046] It is to be appreciated that a lesser or more equipped computer system than the example described above may be preferred for certain implementations. Therefore, the configuration of the exemplary computer system 400 will vary from implementation to implementation depending upon numerous factors, such as price constraints, performance requirements, technological improvements, or other circumstances.

[0047] It should be noted that, while the steps described herein may be performed under the control of a programmed processor, such as the processor 402, in alternative embodiments, the steps may be fully or partially implemented by any programmable or hard coded logic, such as Field Programmable Gate Arrays (FPGAs), TTL logic, or Application Specific Integrated Circuits (ASICs), for example. Additionally, the method of the present invention may be performed by any combination of programmed general purpose computer components or custom hardware components. Therefore, nothing disclosed herein should be construed as limiting the present invention to a particular embodiment wherein the recited steps are performed by a specific combination of hardware components.

[0048] In the present description, for the purposes of explanation, numerous specific details are set forth in order to provide a thorough understanding of the present invention. It will be apparent, however, to one skilled in the art that the present invention may be practiced without some

of these specific details. In other instances, well-known structures and devices are shown in block diagram form. The specific detail may be supplied by one of average skill in the art as appropriate for any particular implementation.

[0049] The present invention includes various steps, which may be performed by hardware components or may be embodied in machine-executable instructions, such as software or firmware instructions. The machine-executable instructions may be used to cause a general-purpose or special-purpose processor programmed with the instructions to perform the steps. Alternatively, the steps may be performed by a combination of hardware and software.

[0050] The present invention may be provided as a computer program product that may include a machine-readable medium having stored instructions thereon, which may be used to program a computer (or other machine) to perform a process according to the present invention. The machine-readable medium may include, but is not limited to, floppy diskettes, optical disks, CD-ROMs, and magneto-optical disks, ROMs, RAMs, EPROMs, EEPROMs, magnet or optical cards, flash memory, or any other type of medium suitable for storing electronic instructions. Moreover, the present invention may also be downloaded as a computer program product, wherein the program may be transferred from a remote computer to a requesting computer by way of data signals embodied in a carrier wave or other machine-readable propagation medium via a communication link (e.g., a modem or network connection).

[0051] Importantly, while embodiments of the present invention are described with reference to synchronizing networked Internet servers, the method and apparatus described herein are equally applicable to coprocessors and to peers on any other type of network, intranet, Internet, LAN, WAN and mobile wireless networks. In addition, while the invention has been described in terms of a processor tick counter, any other register that is readily accessible and that is updated at a consistent

and high speed much greater than the system clock can be used. Other types of processing engines, such as ASICs, FPGAs and DSPs may contain similar types of registers which go by different names.

[0052] Although this disclosure describes illustrative embodiments of the invention in detail, it is to be understood that the invention is not limited to the precise embodiments described. The specification and drawings are, accordingly, to be regarded in an illustrative rather than a restrictive sense. Various adaptations, modifications and alterations may be practiced within the scope of the invention defined by the appended claims.

For Office Use Only